




Who We Are



The Department of Corporations is California's Investment and Financing Authority, and has exclusive authority to bring both civil and administrative actions under the laws subject to the jurisdiction of the California Corporations Commissioner.



What We Do

We license and regulate a variety of businesses that affect the lives of Californians and represent a significant part of the state's economy, including securities brokers and dealers, investment advisers and financial planners, and certain fiduciaries and lenders. We also regulate the offer and sales of securities, franchises and off-exchange commodities.

The Department reports to the California Business, Transportation and Housing Agency and the governor. We are the last line of defense for many of the most significant financial transactions that Californians make, from mortgages to retirement plans.

The Mission of the California Department of Corporations

The California Department of Corporations has a three-part mission:

1. To rigorously enforce the laws of the state, ensuring that all of California's financial services consumers enter the marketplace with confidence,
2. To open the door to financial security for all Californians by educating vulnerable populations about the risks and rewards of investing, and

3. To provide businesses with a financial services marketplace that is transparent, cost-effective and efficient.

Contact Us if You:

- **Think you or your business may need to register or be licensed with the California Department of Corporations:** We will provide you with the required license or registration applications.
- **Are considering making an investment:** It's a good idea to check out the background of the person or company you plan to do business with. We can help with your research by providing you with the license and registration status and disciplinary histories of broker-dealer firms and agents and investment advisers and their representatives.
- **Need the services of a finance lender, mortgage banker, escrow agent or check seller:** We can tell you whether or not a person or company is licensed with the State.
- **Have a complaint about an individual or business regulated by the California Department of Corporations:** We will provide you with a complaint form and help you file your complaint.

Retirement



Financing



Business



Guidelines for Filing a Complaint:

The Department of Corporations can:

- Investigate complaints for alleged violations of the licensing or anti-fraud provisions of the laws administered by the Department of Corporations. We are empowered to bring administrative or civil actions to stop these violations and refer cases to the local district attorney for criminal prosecution.

"California's Investment and Financing Authority"

DEPARTMENT OF
CORPORATIONS

- Investigate complaints for alleged violations of any law under the jurisdiction of the Department of Corporations.

The Department of Corporations cannot:

- Give legal advice or act as your attorney.
- Act as a court of law. We cannot order that monies be refunded, contracts be rescinded or cancelled, or damages be awarded. If you have this type of problem, you should consult an attorney.

Investment



How to Contact Us

Phone Our Consumer Call Center

Call our toll-free telephone number, **1-866-ASK-CORP (1-866-275-2677)**, and get connected to a Department of Corporations service representative Monday through Friday, from 8:00 a.m. to 5:00 p.m.

Visit Us on the Web

Consumer complaint forms, license applications, law and rule changes and other helpful information may be obtained by accessing the Department of Corporations' Web site at **www.corp.ca.gov**. The site contains a

variety of consumer education materials, including investor and consumer alerts which provide facts about financial scams and offer practical tips to protect you and your money against fraudulent investment, finance and lending schemes.

Stop by One of Our Offices

The Department of Corporations has offices throughout the state to serve you:

Sacramento

(916) 445-7205
1515 K Street, Suite 200
Sacramento, CA 95814-4052

San Francisco

(415) 557-3787
1390 Market Street, Suite 810
San Francisco, CA 94102-5303

Los Angeles

(213) 576-7500
320 West 4th Street, Suite 750
Los Angeles, CA 90013-2344

San Diego

(619) 525-4233
1350 Front Street, Room 2034
San Diego, CA 92101-3697

